

中華民國證券投資信託暨顧問商業同業公會 函

(郵遞區號)

(地址)

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發文字號：中信顧字第1070052952號
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密等及解密條件或保密期限：
附件：如文

主旨：金融監督管理委員會檢送有關美國財政部107年11月13日公告新增5位個人及1個實體於制裁名單（SDN list）一案，如發現疑似洗錢或資恐交易，請向法務部調查局申報，並注意該等交易風險，請查照。

說明：依金融監督管理委員會107年11月21日金管證券字第10703442841號函辦理。

正本：本公會各投信會員公司、本公會各投顧會員公司

副本：

理事長 張錫

檔 號：

保存年限：

金融監督管理委員會 函

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受文者：中華民國證券投資信託暨顧問商業同業公會

發文日期：中華民國107年11月21日

發文字號：金管證券字第10703442841號

速別：普通件

密等及解密條件或保密期限：

附件：如主旨(第一件 A45020000DORGUNIT107112103442841A2B344284.PDF)

主旨：有關美國財政部107年11月13日公告新增5位個人及1個實體於制裁名單（SDN list）一案，請轉知所屬會員，如發現疑似洗錢或資恐交易，請向法務部調查局申報，並注意該等交易風險，請查照。

說明：

- 一、依據駐美國代表處經濟組107年11月13日經美字第1070001381號函副本辦理。
- 二、檢附駐美國代表處經濟組函文及美國財政部107年11月13日公告影本各一份。

正本：中華民國證券商業同業公會、中華民國期貨業商業同業公會、中華民國證券投資信託暨顧問商業同業公會（均含附件）

副本：臺灣證券交易所股份有限公司、財團法人中華民國證券櫃檯買賣中心、臺灣期貨交易所股份有限公司、臺灣集中保管結算所股份有限公司



授權單位主管決行並鈐印



檔 號：
保存年限：

駐美國代表處經濟組 函

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受文者：金融監督管理委員會

發文日期：中華民國107年11月13日

發文字號：經美字第1070001381號

速別：普通件

密等及解密條件或保密期限：

附件：如文(1070001381_Attach1.docx、1070001381_Attach2.pdf)

主旨：陳報美國財政部公告新增5名個人及1個實體於制裁名單(SDN list)事，敬請查照。

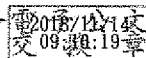
說明：

一、美財政部於本(11)月13日發布新聞稿略以，該部外國資產管制局(OFAC)以為伊朗革命衛隊聖城旅(IRGC-QF)或真主黨提供財務協助，而於伊拉克境內從事恐怖活動等為由，將包括Shibl Muhsin 'Ubayd Al-Zaydi等5人納入制裁清單，實施第二級制裁，凍結其於美國境內之資產與交易。OFAC另將Al-Mujahidin Brigades涉及恐怖活動為由，新增於制裁名單。

二、檢附上述財政部新聞稿如附件，併請卓參。

正本：經濟部國際貿易局

副本：金融監督管理委員會





PRESS RELEASES

Treasury Sanctions Key Hizballah, IRGC-QF Networks in Iraq

November 13, 2018

*Action follows signing of new Hizballah sanctions legislation
and re-imposition of Iran-related sanctions*

Washington – The U.S. Department of the Treasury’s Office of Foreign Assets Control (OFAC) took action today to target four Hizballah-affiliated individuals who lead and coordinate the group’s operational, intelligence, and financial activities in Iraq. Specifically, OFAC designated Shibl Muhsin ‘Ubayd Al-Zaydi, Yusuf Hashim, Adnan Hussein Kawtharani, and Muhammad ‘Abd-Al-Hadi Farhat as Specially Designated Global Terrorists (SDGTs) pursuant to Executive Order (E.O.) 13224, which targets terrorists and those providing support to terrorists or acts of terrorism.

“Hizballah is a terrorist proxy for the Iranian regime that seeks to undermine Iraqi sovereignty and destabilize the Middle East. We are targeting terror facilitators like Al-Zaydi who smuggle oil for Iran, raise funds for Hizballah, and send fighters to Syria for the IRGC-Qods Force on behalf of Qasem Soleimani,” said Sigal Mandelker, Under Secretary of the Treasury for Terrorism and Financial Intelligence. “Treasury’s concerted actions aim to deny Hizballah’s clandestine attempts to exploit Iraq to launder funds, procure weapons, train fighters, and collect intelligence as a proxy for Iran. This administration will impose severe consequences on anyone assisting Hizballah and their global support networks, and those who engage in business relationships with these terrorists expose themselves to serious sanctions risk.”

These designations follow the signing into law on October 25, 2018, of the Hizballah International Financing Prevention Amendments Act of 2018, which reinforces the U.S. Government’s efforts to protect the international financial system by targeting Hizballah’s supporters, financial networks, and those that facilitate and enable its destabilizing activities worldwide. Today’s designations specifically target individuals enabling Hizballah’s activities that undermine security and stability in Iraq, and carry significant risks for those attempting to conduct business with Hizballah

globally. Today's action continues Treasury's historic level of Hizballah-related designations, which have reached record numbers in 2018.

Treasury's actions today again highlight the degree to which Hizballah operates as a clandestine, terrorist arm of the Iranian regime. On November 5, 2018, in its largest ever single-day action targeting the Iranian regime, OFAC sanctioned over 700 individuals, entities, aircraft, and vessels. This action completed the re-imposition of U.S. nuclear-related sanctions that were lifted or waived under the Joint Comprehensive Plan of Action (JCPOA).

The individuals designated today are subject to secondary sanctions pursuant to the Hizballah Financial Sanctions Regulations, which implements the Hizballah International Financing Prevention Act of 2015. Pursuant to this authority, OFAC can prohibit or impose strict conditions on the opening or maintaining in the United States of a correspondent account or a payable-through account by a foreign financial institution that knowingly facilitates a significant transaction for Hizballah.

All property and interests in property of those persons designated today that are subject to U.S. jurisdiction are now blocked, and U.S. persons are generally prohibited from engaging in transactions with them.

SHIBL MUHSIN 'UBAYD AL-ZAYDI (AL-ZAYDI)

Al-Zaydi was designated for acting for or on behalf of the Islamic Revolutionary Guard Corps-Qods Force (IRGC-QF), and assisting in, sponsoring, or providing financial, material, or technological support for, or financial or other services to or in support of, Hizballah.

Al-Zaydi has served as a financial coordinator between the IRGC-QF and sectarian armed groups in Iraq and assisted in facilitating Iraqi investments on behalf of IRGC-QF Commander Qasem Soleimani, whom OFAC designated on October 11, 2011, for acting for or on behalf of the IRGC-QF. Al-Zaydi has also coordinated the smuggling of oil from Iran on behalf of Iran, the smuggling of oil into Syria on behalf of Iran, and has sent Iraqi fighters to Syria allegedly at the IRGC-QF's request. Al-Zaydi has appeared publically with IRGC-QF Commander Qasem Soleimani at least four times.

Al-Zaydi has maintained close business ties to Hizballah officials and Hizballah financier Adham Tabaja (Tabaja). These activities have included providing protection for companies in Iraq allegedly financed by Hizballah and facilitating the movement of Hizballah funding into Iraq for investments. Al-Zaydi has also worked with senior Hizballah officials to transfer large sums of money to Lebanon to help fund Hizballah's participation in the Syrian civil war. Moreover, Al-Zaydi has transferred large sums of money to Tabaja and worked with OFAC-designated Muhammad Al-Mukhtar Kallas to facilitate the movement of bulk cash from Iraq to Lebanon on Tabaja's behalf. OFAC designated Tabaja on June 6, 2015, for acting for or on behalf of

Hizballah. Tabaja maintains direct ties to senior Hizballah officials and Hizballah's operational component, the Islamic Jihad, and holds properties in Lebanon on behalf of the group.

In addition, Al-Zaydi is a partner and founder of Global Cleaners S.A.R.L., which OFAC designated on October 20, 2016, as an SDGT pursuant to E.O. 13224 for being owned or controlled by Tabaja. Also, since its founding in 2014, Al-Zaydi has been the Secretary General of an Iran-aligned Iraqi sectarian armed group. This armed group primarily operates in Iraq, but has also dispatched fighters to Syria, and its members have trained in Iran and with Hizballah in Lebanon.

YUSUF HASHIM (HASHIM)

Hashim was designated for acting for or on behalf of Hizballah.

Hashim oversees all Hizballah-related operational activities in Iraq and is in charge of protecting Hizballah interests in Iraq. Additionally, Hashim arranges for the protection of Tabaja inside of Iraq.

Hashim has also managed Hizballah's relations with sectarian armed groups in Iraq, including the coordination of the deployment of fighters to Syria.

ADNAN HUSSEIN KAWTHARANI (KAWTHARANI)

Kawtharani was designated for assisting in, sponsoring, or providing financial, material, or technological support for, or financial or other services to or in support of, Hizballah.

Kawtharani facilitates business transactions for Hizballah inside Iraq and has attended meetings in Iraq with sectarian armed groups and Hizballah officials. Kawtharani has also been involved in securing a significant source of funding for Hizballah, and has served as the right hand man for his brother and senior Hizballah member Muhammad Kawtharani, whom OFAC designated on August 22, 2013, pursuant to E.O. 13224, for being in charge of Hizballah's Iraq activities and working on behalf of Hizballah leadership to promote the group's interests in Iraq, including Hizballah efforts to provide training, funding, political, and logistical support to Iraqi sectarian armed groups.

Further, as of 2016, Kawtharani worked to obtain a weapons contract in order to raise funds for Hizballah fighters.

Kawtharani is also a partner in the company Global Cleaners S.A.R.L.

MUHAMMAD ‘ABD-AL-HADI FARHAT (FARHAT)

Farhat was designated for acting for or on behalf of Hizballah.

Farhat has been involved in advising sectarian armed groups in Iraq on behalf of Hizballah. As of 2017, Farhat was tasked with collecting security and intelligence information in Iraq and subsequently providing reports to senior Hizballah and Iranian leadership. Farhat has been involved in a project to analyze and report on the Iraqi security situation for Hizballah and the IRGC-QF.

View identifying information on the individuals designated today.



2018/11/13

Counter Terrorism Designations

U.S. DEPARTMENT OF THE TREASURY

Resource Center

Counter Terrorism Designations

11/13/2018

OFFICE OF FOREIGN ASSETS CONTROL

Specially Designated Nationals List Update

The following individuals have been added to OFAC's SDN List:

AL-ZAYDI, Shibl Muhsin 'Ubayd (a.k.a. AL ZAIDI, Shebl; a.k.a. AL ZAIDI, Shibl; a.k.a. AL-ZADI, Shibl Muhsin Ubayd; a.k.a. AL-ZAYDI, Hajji Shibl Muhsin; a.k.a. MAHDI, Ja'far Sa'lih; a.k.a. "SHIBL, Hajji"), Iraq; DOB 28 Oct 1968; POB Baghdad, Iraq; Additional Sanctions Information - Subject to Secondary Sanctions Pursuant to the Hizballah Financial Sanctions Regulations; alt. Additional Sanctions Information - Subject to Secondary Sanctions; Gender Male (individual) [SDGT] [IRGC] [IFSR] (Linked To: ISLAMIC REVOLUTIONARY GUARD CORPS (IRGC)-QODS FORCE; Linked To: HIZBALLAH).

FARHAT, Muhammad 'Abd-Al-Hadi (a.k.a. FARHAT, Mohamad), Iraq; DOB 06 Apr 1967; POB Kuwait; nationality Lebanon; Additional Sanctions Information - Subject to Secondary Sanctions Pursuant to the Hizballah Financial Sanctions Regulations; Gender Male; Passport RL 2274078 (individual) [SDGT] (Linked To: HIZBALLAH).

HASHIM, Yusuf (a.k.a. HASHIM, Yusef; a.k.a. "SADIQ, Hajji"; a.k.a. "SADIQ, Sayyid"), Al Zahrani, Lebanon; DOB 1962; POB Beirut, Lebanon; Additional Sanctions Information - Subject to Secondary Sanctions Pursuant to the Hizballah Financial Sanctions Regulations; Gender Male (individual) [SDGT] (Linked To: HIZBALLAH).

KAWTHARANI, Adnan Hussein (a.k.a. AL-KAWTHARANI, Adnan; a.k.a. KAWTHARANI, Adnan Mahmud; a.k.a. KAWTHRANI, Adnan; a.k.a. KUTHERANI, Adnan), Al Zahrani, Lebanon; Najaf, Iraq; DOB 02 Sep 1954; POB Lebanon; Additional Sanctions Information - Subject to Secondary Sanctions Pursuant to the Hizballah Financial Sanctions Regulations; Gender Male (individual) [SDGT] (Linked To: HIZBALLAH).

NASRALLAH, Jawad (a.k.a. NASRALLAH, Juad; a.k.a. NASRALLAH, Mohammad Jawad); DOB 24 May 1981; nationality Lebanon; Additional Sanctions Information - Subject to Secondary Sanctions Pursuant to the Hizballah Financial Sanctions Regulations; Gender Male (individual) [SDGT] (Linked To: HIZBALLAH).

The following entity has been added to OFAC's SDN List:

AL MUJAHIDIN BRIGADES (a.k.a. AL MUJAHIDEEN BRIGADES; a.k.a. ANSAR AL-MUJAHIDIN MOVEMENT; a.k.a. HOLY WARRIORS BATTALION; a.k.a. KHATIB AL-MUJAHIDIN), West Bank, Palestinian; Gaza Strip, Palestinian; Cairo, Egypt [SDGT].

